



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Howard W. Lutnick et al.
Application No.: 10/699,859 Confirmation No.: 5126
Filed : October 31, 2003
For : ELECTRONIC SYSTEMS AND METHODS FOR
PROVIDING A TRADING INTERFACE WITH
ADVANCED FEATURES
Group Art Unit : 3623

New York, New York
June 1, 2004

Hon. Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is a Supplemental Information
Disclosure Statement in the above-identified application.
This Statement is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application
filing date but before the mailing date of the
first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Second Supplemental Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



Philip R. Boh
Reg. No. 51,176
Agent for Applicants
FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000

I hereby certify that this
Correspondence is being
deposited with the U.S.
Postal Service as First
Class Mail in an envelope
Addressed to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450 on

June 1, 2004

Lillian Garcia



Signature of Person Signing

Sheet 1 of 1

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF-78	APPLICATION NO. 10/699,859
SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANTS Howard W. Lutnick et al.	CONFIRMATION NO. 5126
		FILING DATE October 31, 2003	GROUP 3623

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLAS S	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	"Hot Keys Now Available," Success Trader Level II - Direct Access Trading, http://web.archive.org/web/20020928124458 (printed February 26, 2004).
	"NexTrend Releases Next Generation Electronic Direct Access Trading, EDAT, Technology Plus New and Expanded Market Analysis Features," Business Wire, Oct. 29, 2001, 2 pgs. www.findarticles.com/cf_dls/m0EIN/2001_Oct_29/79515988/p1/article.html . (printed March 2, 2004).
	"Neovest Updates Trade Execution," Neovest High Performand Trading Technology, August 31, 2001, http://www.neovest.com/recentarticles/article2001831.html . (printed March 2, 2004).

EXAMINER

/Hatem Ali/

DATE CONSIDERED

09/15/2008

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.A./